



## Systems review of physical access and security arrangements

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**Date of meeting** 24 November 2023

**Date of report** 8 November 2023

### Report by Chief Executive

#### 1. Object of report

To advise the committee on the findings of a systems review of physical access and security arrangements. This engagement was included in the annual Internal Audit plan 2023/2024.

#### 2. Background to report

SPT's operational delivery areas include the main office at 131 St Vincent Street, Glasgow (131); bus stations spread across the Strathclyde area, namely, Buchanan Bus Station in Glasgow, East Kilbride and Hamilton bus stations, interchanges at Partick and Govan as well as monitoring Greenock bus station; and Glasgow's Subway stations, operational yard and offices contained within the Broomloan depot site at Govan.

The Subway is subject to regulators, the Office of Road and Rail (ORR) who undertake inspections and investigations and provide advice and guidance on health and safety matters and enforce health and safety legislation as well as the Transport Security and Contingencies Directorate (TRANSEC) who devise and enforce security measures to protect the travelling public and undertake inspections.

**Note:** Bus stations, while following strict safety and security arrangements consistent with Subway, do not have the same external oversight from regulators.

The Financial Regulations and Scheme of Delegated Functions provide internal policy on physical access and security arrangements.

The objective of this engagement was to review and evaluate physical access and security arrangements in place at SPT locations.

This engagement tested elements of the internal controls and mitigation against SPT6: Security as identified in the Corporate Risk register.

#### 3. Outline of findings

SPT has a number of physical security measures, processes and procedures in place to protect the safety and security of staff, customers and property which include:

- CCTV cameras (including Body Worn Video);
- electronic door access control and intruder detection systems;
- physical security arrangements; and

- processes for visitor registration

Engagement testing identified a requirement to review the currency of security door access privileges and general housekeeping arrangements to enhance current environmental controls.

Given the need to ensure security is maintained, the Strategy group has requested all actions/recommendations are implemented immediately with a follow-up report within three months from the date of this meeting.

There are areas for improvement which are addressed by recommendations which can be found at Appendix 1. Digital management and Subway Operations management have agreed to implement the recommendations, which is currently being actioned.

Key controls exist and are applied consistently and effectively in the majority of areas tested in this engagement. Reasonable assurance can be taken from the internal controls in place.

#### 4. Committee action

The Committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to the next meeting.

#### 5. Consequences

Policy consequences	<i>None.</i>
Legal consequences	<i>None.</i>
Financial consequences	<i>None.</i>
Personnel consequences	<i>None.</i>
Equalities consequences	<i>None.</i>
Risk consequences	<i>As detailed in the report.</i>
Climate Change, Adaptation & Carbon consequences	<i>None.</i>

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**Title** Director

**Name** Valerie Davidson  
**Title** Chief Executive

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**APPENDIX 1  
Audit & Standards committee – 24 November 2023**

**Systems review of physical access and security arrangements**

The recommendation from this engagement is listed in the following table. The priorities are defined as follows:

- High:** A fundamental control that should be addressed as soon as possible;
- Medium:** An important control that should be addressed within three months;
- Low:** An issue which is not fundamental but should be addressed within six months to improve the overall control environment.

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<p><u>Contractor identification cards</u></p> <p>Subway Operations management should review the administration of contractor identification cards.</p> <p>Uncollected contractor cards should be monitored on regular basis.</p>	Medium	Contractor identification card administration arrangements will be reviewed and monitored on a regular basis.	Head of Service Operations & Security (Subway)	December 2023
2	<p><u>Security door access</u></p> <p>Subway Operations management should review and, where appropriate, cleanse the number of staff and contractors with security door access privileges.</p> <p>Reports generated from the security door access system should be regularly reviewed for completeness and accuracy.</p>	Medium	The security door access system reporting will be reviewed on a regular basis.	Head of Service Operations & Security (Subway)	December 2023

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
3	<p><u>Subway station property tenants</u></p> <p>Subway Operations management should remind station property tenants on security arrangements and general environmental controls including:</p> <ul style="list-style-type: none"> <li>• all security and fire doors should be kept closed at all times;</li> <li>• road signage should be secured and displayed beyond the main public thoroughfare.</li> </ul>	Medium	Subway station property tenants will be reminded to secure premises and advised on environmental issues.	Head of Service Operations & Security (Subway)	December 2023
4	<p><u>Digital infrastructure</u></p> <p>Digital management should consider reviewing the:</p> <ul style="list-style-type: none"> <li>• uninterrupted power supply (UPS) maintenance and security arrangements in place; and</li> <li>• enhancements to the current access and security of digital infrastructure communication cabinets and equipment store.</li> </ul> <p>Key holding and physical access arrangements for digital infrastructure should be reviewed and regularly monitored.</p>	Medium	<p>There are ongoing digital infrastructure projects which include security arrangements.</p> <p>A risk-based review of access and security of communication cabinets/store will be undertaken.</p> <p>Key holding arrangements will be reviewed and enhanced.</p>	Digital Manager	December 2023

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
5	<p><u>Digital environmental controls</u></p> <p>Digital management should review the current environmental controls and general housekeeping arrangements including the following:</p> <ul style="list-style-type: none"><li>• equipment rooms and workspaces kept clean and clear of any superfluous equipment; and</li><li>• visitor log books in the communication and server rooms should be maintained.</li></ul>	Medium	A housing-keeping exercise will be conducted to address all areas highlighted.	Digital Manager	December 2023